

## COMPLETION OF FILING NATIONAL PHASE OF PCT APPLICATION

533 Recd PCT/PTO

02 OCT 2001

UNDER RULE 35 USC 371 AND 37 CFR 1.494(C) OR 1.495(C)

10/11/01  
BOX PCTCOMPLETION  
For PCT Cases Only

## IN THE PATENT APPLICATION OF

Inventor(s): FAULL, Alan W. et al

Appln. No.: 09

889,516

Atty. Dkt.

P 0281467

Z.70470/UST

Series Code ↑

Serial No. ↑

M#

Client Ref

## National Phase Field

Based on PCT GB00 00284

↑ Country Code &amp; Year

Title: CHEMICAL COMPOUNDS

Date: October 2, 2001

## FILING OF ITEM(S) LATE IN PCT/USA NATIONAL CASE

Asst. Commissioner of Patents

Washington, DC 20231

Sir:

The following completes the filing of the subject application under Rule 494(c)/495(c). Please accept the following attached items:

1. Missing Requirements Notice (PCT/DO/EO/905)  copy attached  not yet received
2.  Signed Declaration  Original  Facsimile/Copy  with spec/claims attached
3.  Translation of the International Application into English including:
  - a.  Request;
  - b.  Abstract
  - c.  pgs. Spec. and Claims;
  - d.  Translation verification formal of size  A4  11"
4.  Copy of International Search Report (ISR) attached (        page(s))
  - a.  plus Annex of family members (        page(s))
5. Information Disclosure Statement including
  - a.  From PTO-1449 listing documents
  - b.  Copies of document(s) listed on Form PTO-1449
  - c.  A concise explanation of ISR references is given in the ISR
6.  Assignment and cover sheet. Please return the recorded assignment to the undersigned.
7.  Copy of Power to international application agent.
8.        (No.) Small Entity Statement(s) establishing "small entity" status under Rules 9 & 27.
9.  Formal Drawings:        sheet(s)  informal;  formal of size:  A4  11"
10.  Please immediately start national examination procedures (35 USC 371(f))

#3  
CBur  
10/11/01

11.  Attached:  
 12.  Preliminary Amendment:  
 13.  Basic U.S. National fee per Rule 492(a)(1)-(4) was previously timely filed.:.

14. **Calculation of remaining fees due (if any):** based on amended claim(s) per above item

12 (above) or item(s) in PAT-112 (filed previously)  12  14  17  25

15. **CLAIMS FEES**  previously paid  paid herewith as follows:

15A. Small Entity Statement  Herewith  Previously Filed

				Large/Small Entity		Fee Code
16. Total Effective Claims	11	minus 20 =	0	x \$18/\$9	+0	966/967
17. Independent Claims	3	minus 3 =	0	x \$84/\$42	+0	964/965
18. If any proper multiple dependent claim (ignore improper) is present,				\$280/\$140	+280	968/969
19. Filing Declaration late, fee paid	<input type="checkbox"/> previously	<input checked="" type="checkbox"/> now		\$130/\$65	+130	154/254
20.				<b>SUBTOTAL</b>	<b>\$410</b>	
21. Original due date:	November 10, 2001					
22. Petition is hereby made to extend the <u>original</u> due date to	(1 mo)	\$110/\$55 =	+0		115/215	
cover the date this response is filed for which the requisite fee	(2mos)	\$400/\$200 =			116/216	
is attached	(3mos)	\$920/\$460 =			117/217	
	(4mos)	\$1,440/\$720 =			118/218	
23. If "non-English" box 3 is X'd, add Rule 17(k) processing fee		\$130	+0		156	
24. If "assignment" box 6 is X'd, add recording fee		\$40	+40		581	
25.	<b>TOTAL FEE ENCLOSED =</b>					<b>\$450</b>

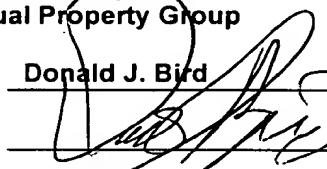
(Our Deposit Account No. 03-3975)  
 (Our Order No. 009901 | 0281467  
 C# \_\_\_\_\_ M# \_\_\_\_\_

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP**  
**Intellectual Property Group**

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 McLean, VA 22102  
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DJB/mhn

**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**

10/05/2001 MKAYPAGH 00000029 09889516

01 FC:968	280.00 OP
02 FC:154	130.00 OP



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/889516		P0281467

FAUL	RECEIVED A	INTERNATIONAL APPLICATION NO.
		PCT/GB00/00284

PILLSBURY WINTHROP LLP  
1600 TYSONS BOULEVARD  
MCLEAN, VA 22102

PILLSBURY WINTHROP LLP/DC

SEP 17 2001

01 JAN 00

CL 9901 MTF 281467  
ATTY(S) NIB  
DUE: 11-10-01

I.A. FILING DATE

PRIORITY DATE

DATE MAILED:

10 SEP 2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as  a Designated Office (37 CFR 1.494)  an Elected Office (37 CFR 1.495):

<input checked="" type="checkbox"/> U.S. Basic National Fee.	<input type="checkbox"/> Indication of Small Entity Status.
<input checked="" type="checkbox"/> Copy of the international application.	<input type="checkbox"/> Translation of the international application into English.
<input type="checkbox"/> Oath or Declaration of inventors(s).	<input type="checkbox"/> Translation of Article 19 amendments into English.
<input type="checkbox"/> Copy of Article 19 amendments.	<input type="checkbox"/> Other:
<input checked="" type="checkbox"/> Priority Document.	
<input checked="" type="checkbox"/> The International Preliminary Examination Report in English and its Annexes, if any.	
<input type="checkbox"/> Translation of Annexes to the International Preliminary Examination Report into English.	

2.  Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

U.S. Basic National Fee.  Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$                    as a  large entity  small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5.  Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.

7.  The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

*A copy of this notice MUST be returned with this response.*

Enclosed:  PCT/DO/EO/917  
 PTO-875

Notice of Defective Translation  
 PCT/DO/EO/920

Charita A. Burt, Paralegal  
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